


Faxed to 703-872-9306 on 11/25/2003

PTO/SB/21 (08-03)


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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/788,303	
	Filing Date	02/16/2001	
	First Named Inventor	Sercel	
	Art Unit	2877	
	Examiner Name	Michael P. Mooney	
Total Number of Pages in This Submission	10	Attorney Docket Number	ALG06NP

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input checked="" type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - 37 CFR 3.73 Statement (1 sheet) - copies of assignments (4 sheets) - copy of name change (3 sheets)
Remarks		
 RECEIVED CENTRAL FAX CENTER NOV 25 2003		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	David S. Alavi Reg. No. 40310
Signature	
Date	11/25/2003

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Faxed to 703-872-9306 on 11/25/2003	
Typed or printed name	David S. Alavi Reg. No. 40310
Signature	
Date	11/25/2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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Please type a plus sign (+) inside this box → 

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<b>POWER OF ATTORNEY OR AUTHORIZATION OF AGENT</b>	Application Number	09/788,303
	Filing Date	02/16/2001
	First Named Inventor	Sercel
	Title	CYLINDRICAL PROCESSING OF OPTICAL MEDIA
	Group Art Unit	
	Examiner Name	
	Attorney Docket Number	ALG06NP

I hereby appoint:

☒ Practitioners at Customer Number  → 

OR

☐ Practitioner(s) named below:

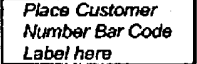
Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number  → 

OR

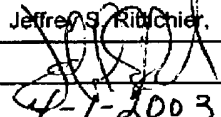
<input type="checkbox"/> Firm or Individual Name				
Address				
Address				
City		State		Zip
Country				
Telephone		Fax		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

**SIGNATURE of Applicant or Assignee of Record**

Name	Jeffrey S. Ritchner, President and CEO, Xponent Photonics Inc.
Signature	
Date	4-7-2003

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ \*Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Xponent Photonics, Inc.Application No./Patent No.: 09/788,303 Filed/Issue Date: 02/16/2001Entitled: CYLINDRICAL PROCESSING OF OPTICAL MEDIAXponent Photonics, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: inventors To: cQuint Communications Corporation  
The document was recorded in the United States Patent and Trademark Office at Reel 011921, Frame 0258, or for which a copy thereof is attached.
2. From: cQuint Communications Corporation To: Xponent Photonics, Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4-1-2003

Date

Jeffrey S. Rittichier

Typed or printed name

Signature

President and CEO, Xponent Photonics Inc.

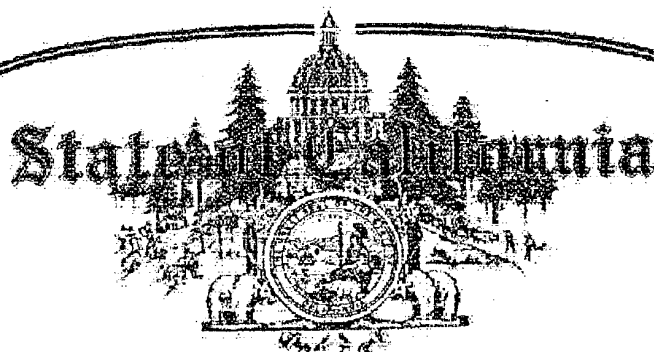
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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AUS 11940

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### SECRETARY OF STATE

I, **BILL JONES**, Secretary of State of the State of California, hereby certify:

That the attached transcript of 2 page(s) has been compared with the record on file in this office, of which it purports to be a copy, and that it is full, true and correct.

**IN WITNESS WHEREOF**, I execute this certificate and affix the Great Seal of the State of California this day of

MAR 11 2002

*Bill Jones*

Secretary of State



See State Form CE-107 (rev. 5/95)

\*COPY\*

RUJ11340

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**CERTIFICATE OF AMENDMENT  
OF  
AMENDED AND RESTATED  
ARTICLES OF INCORPORATION  
OF  
cQUINT COMMUNICATIONS CORPORATION**

**ENDORSED - FILED**  
in the office of the Secretary of State  
of the State of California

**MAR 06 2002**

**BILL JONES, Secretary of State**

Jeffrey Rittichier and Pamela Stock hereby certify that:

A. They are the President and Secretary, respectively, of cQuint Communications Corporation, a California corporation (the "Corporation"):

B. Article I of the Amended and Restated Articles of Incorporation of the Corporation is amended and restated to read in its entirety as follows:

**I.**

The name of this corporation is Xponent Photonics Inc.

C. The amendment set forth herein has been duly approved and adopted by the Board of Directors of this Corporation.

D. The amendment set forth herein has been duly approved by the required vote of the shareholders in accordance with Sections 902 and 903 of the California Corporations Code. The Corporation has outstanding 9,375,985 shares of Common Stock, 5,780,859 shares of Series A Convertible Preferred Stock and 10,666,668 shares of Series B Convertible Preferred Stock. The number of shares voting in favor of the amendment equaled or exceeded the vote required for approval. The percentage vote required for the approval of the amendment was more than 50% of the Common Stock, Series A Convertible Preferred Stock and Series B Convertible Preferred Stock voting together as a single class.


**\*COPY\***


459222

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The undersigned further declares under penalty of perjury under the laws of the State of California that the matters set forth in this Certificate are true and correct of my own knowledge.

Dated: Feb. 20, 2002

  
\_\_\_\_\_  
Jeffrey Rattichier  
President

  
\_\_\_\_\_  
Pamela Stock  
Secretary

\*COPY\*

459222



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PTO/SB/15 (02-01)

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<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) ALG06NP
----------------------------------	-------------------------------------

Whereas, I/We, Peter C. Sercel of Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Cylindrical processing of optical media


☒ for which an application for a United States Patent was filed on 02/16/2001  
Application Number 09 / 788,303

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, cQuint Communications Corporation of Monrovia, CA herein referred to "assignee" whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.


Executed this 13<sup>th</sup> day of June, 2001  
at Monrovia, California

  
 (Signature)

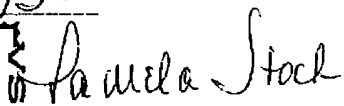
State of CALIFORNIA  
County of LOS ANGELES SS: Peter C. Sercel

Before me personally appeared said Peter C. Sercel and acknowledged the foregoing instrument to be his free act and deed this 13<sup>th</sup> day of JUNE, 2001.

Seal



**PAMELA STOCK**  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

  
 (Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 4 forms are submitted.

COPY

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<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) ALG06NP
----------------------------------	-------------------------------------

Whereas, I/We, Kerry J. Vahala of San Gabriel, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Cylindrical processing of optical media

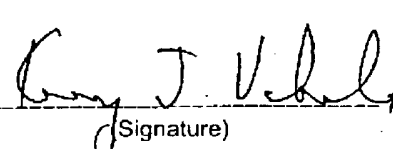
☒ for which an application for a United States Patent was filed on 02/16/2001  
Application Number 09 / 788,303

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, cQuint Communications Corporation of Monrovia, CA herein referred to "assignee" whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

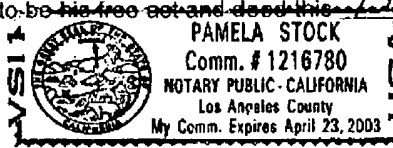
Executed this 13<sup>TH</sup> day of JUNE, 20 01  
at MONROVIA, CA

  
 (Signature)

State of CALIFORNIA, SS:  
County of LOS ANGELES

Before me personally appeared said KERRY J. VAHALA  
and acknowledged the foregoing instrument to be his free act and deed this 13<sup>TH</sup>  
day of JUNE, 2001.

Seal



Pamela Stock  
(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 4 forms are submitted.

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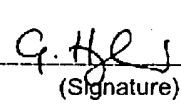
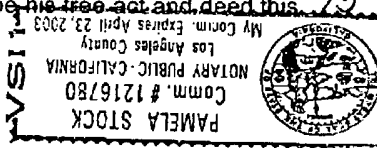
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<b>ASSIGNMENT OF APPLICATION</b>	Docket Number (Optional) ALG06NP
<p>Whereas, I/We, <u>Guido Hunziker</u> of <u>Altadena, CA</u>, hereafter referred to as applicant, have invented certain new and useful improvements in <u>Cylindrical processing of optical media</u></p> <p><input checked="" type="checkbox"/> for which an application for a United States Patent was filed on <u>02/16/2001</u> Application Number <u>09 / 788,303</u></p> <p><input type="checkbox"/> for which an application for a United States Patent was executed on _____, and</p> <p>Whereas, <u>cQuint Communications Corporation</u> of <u>Monrovia, CA</u> herein referred to "assignee" whose mailing address is <u>427 East Huntington Drive, Monrovia, CA 91016</u> is desirous of acquiring the entire right, title and interest in the same;</p> <p>Now, therefore, in consideration of the sum of <u>10.00</u> dollars (\$ <u>10.00</u> ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.</p> <p>Executed this <u>13<sup>th</sup></u> day of <u>JUNE</u>, 2001 at <u>MONROVIA, CA</u></p> <p>State of <u>CALIFORNIA</u> County of <u>LOS ANGELES</u> SS: <u>Guido Hunziker</u></p> <p>Before me personally appeared said <u>Guido Hunziker</u> and acknowledged the foregoing instrument to be his free act and deed this <u>13<sup>th</sup></u> day of <u>JUNE</u>, 20<u>01</u>.</p> <p style="text-align: right;">         (Signature)     </p> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 40%;"> <p>Seal</p> <p>Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below*.</p> </div> <div style="width: 50%; text-align: center;">  <p><u>Pamela Stock</u> (Notary Public)</p> </div> </div> <p>* <input checked="" type="checkbox"/> Total of <u>4</u> forms are submitted.</p>	

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<b>ASSIGNMENT OF APPLICATION</b>	<b>Docket Number (Optional)</b> ALG06NP
<p>Whereas, I/We, <u>David W. Vernoooy</u> of <u>Sierra Madre, CA</u>, hereafter referred to as applicant, have invented certain new and useful improvements in <u>Cylindrical processing of optical media</u></p> <p><input checked="" type="checkbox"/> for which an application for a United States Patent was filed on <u>02/16/2001</u>          Application Number <u>09 / 788,303</u></p> <p><input type="checkbox"/> for which an application for a United States Patent was executed on _____, and</p> <p>Whereas, <u>cQuint Communications Corporation</u> of <u>Monrovia, CA</u> herein referred to "assignee" whose mailing address is <u>427 East Huntington Drive, Monrovia, CA 91016</u> is desirous of acquiring the entire right, title and interest in the same;</p> <p>Now, therefore, in consideration of the sum of <u>10.00</u> dollars (\$ <u>10.00</u> ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.</p> <p>Executed this <u>13<sup>th</sup></u> day of <u>June</u>, 20 <u>01</u>          at <u>MONROVIA, CA</u></p> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"> <div> <p>State of <u>CALIFORNIA</u>          County of <u>LOS ANGELES</u> SS:</p> <p>Before me personally appeared said <u>DAVID W. VERNOOY</u>          and acknowledged the foregoing instrument to be his free act and deed this <u>13<sup>th</sup></u>          day of <u>JUNE</u>, 20 <u>01</u>.</p> <p style="text-align: center;">Seal</p> </div> <div style="text-align: center;">  </div> <div style="text-align: right;"> <p><i>[Signature]</i>          (Signature)</p> <p><i>[Signature]</i>          (Notary Public)</p> </div> </div> <p>Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.</p> <p>* <input checked="" type="checkbox"/> Total of <u>4</u> forms are submitted.</p>	

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